



09-25-01

GP/SG/2001  
Sector 8

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INCORPORATED  
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September 24, 2001

Box RESPONSES – FEE  
Attention: Initial Patent Examination Division  
Assistant Commissioner for Patents  
U.S. Patent and Trademark Office  
Washington, D.C. 20231

Re: United States Patent Application  
Serial No.: 09/902,440  
Entitled: **LOCKING SYSTEM FOR GOOSENECK TRAILER HITCH**  
Our Reference No.: 22578.3

Dear Sir or Madam:

Please find enclosed the following items for filing in the above-referenced application:

1. Response to Notice to File Missing Parts (1 page);
2. Copy of Notice to File Missing Parts (Part 2);
3. Inventors' Declaration and Power of Attorney (3 pages);
4. Fee Transmittal Sheet;
5. Check in the amount of \$540.00; and
6. Acknowledgment Post Card.

The Commissioner is hereby authorized to charge any deficiency in fees or credit any overpayment to Deposit Account No. 03/3483.

Respectfully submitted,

*Court B. Allen*  
Courtenay B. Allen  
Reg. No. 43,469

CBA/lah

Enclosures

cc: Mr. Dennis Ulbrich (w/encls.)  
ic: Mr. Derrick Pizarro [Firm] (w/o encl.)

EXPRESS MAIL "Post Office to Addressee"  
Mailing Label No.: EL411330220US  
Date of Deposit: September 24, 2001



#3

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICATION SERIAL NO.  
09/902,440

§ ATTORNEY DOCKET NO. 22578.3

INVENTORS: Dennis R. Ulbrich and  
Derrick A. Pizarro§  
§  
§  
§  
§  
§ FILING DATE: July 10, 2001TITLE: LOCKING SYSTEM FOR  
GOOSENECK TRAILER HITCH§  
§  
§  
§ GROUP ART UNIT: 3629

## Box RESPONSES—FEE

Attention: Initial Patent Examination Division  
United States Patent and Trademark Office  
Washington, D.C. 20231

Sir:

**RESPONSE TO NOTICE TO FILE MISSING PARTS**

Applicant timely responds to the Notice to File Missing Parts of Nonprovisional Application dated August 28, 2001, a copy of which is enclosed. The Notice to File Missing Parts required the filing of the statutory basic filing fee of \$355, extra claims fees of \$120, an oath or declaration, and surcharge of \$65. Accordingly, a check in the amount of \$540.00 is enclosed to cover the foregoing fees along with an Inventors' Declaration and Power of Attorney.

The Commissioner is hereby authorized to charge any deficiency in fees or credit any overpayment to Deposit Account No. 03/3483.

Respectfully submitted,

*Courtenay B. Allen*  
\_\_\_\_\_  
Courtenay B. Allen  
Reg. No. 43,469  
Cox & Smith Incorporated  
112 East Pecan Street, Suite 1800  
San Antonio, Texas 78205-1536  
(210) 554-5389  
(210) 226-8395 fax  
ATTORNEYS FOR APPLICANT

Date: 9-24-2001



GP/3629#3

PTO/SB/17 (11-00)

Approved for use through 10/31/2002. OMB 0651-0032  
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

# FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision.

**TOTAL AMOUNT OF PAYMENT** (\$ 540.00)

## Complete if Known

Application Number	09/902,440
Filing Date	July 10, 2001
First Named Inventor	Ulbrich, et al.
Examiner Name	
Group Art Unit	3629
Attorney Docket No.	22578.3

## METHOD OF PAYMENT

1.  The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number 03-3483  
Deposit Account Name COX & SMITH INC.

Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17

Applicant claims small entity status. See 37 CFR 1.27

2.  Payment Enclosed:

Check  Credit card  Money Order  Other

## FEE CALCULATION

### 1. BASIC FILING FEE

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
101	710	201 355 Utility filing fee	355
106	320	206 160 Design filing fee	
107	490	207 245 Plant filing fee	
108	710	208 355 Reissue filing fee	
114	150	214 75 Provisional filing fee	

**SUBTOTAL (1) (\$ 355)**

### 2. EXTRA CLAIM FEES

Total Claims	Extra Claims	Fee from below	Fee Paid
15	-20** = 0	x 0	0
Independent Claims 6	- 3** = 3	x 40	120
Multiple Dependent			0

### Large Entity Small Entity

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description
103	18	203 9 Claims in excess of 20
102	80	202 40 Independent claims in excess of 3
104	270	204 135 Multiple dependent claim, if not paid
109	80	209 40 ** Reissue independent claims over original patent
110	18	210 9 ** Reissue claims in excess of 20 and over original patent

**SUBTOTAL (2) (\$ 120)**

\*or number previously paid, if greater; For Reissues, see above

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
105	130	205 65 Surcharge - late filing fee or oath	65
127	50	227 25 Surcharge - late provisional filing fee or cover sheet	
139	130	139 130 Non-English specification	
147	2,520	147 2,520 For filing a request for ex parte reexamination	
112	920*	112 920* Requesting publication of SIR prior to Examiner action	
113	1,840*	113 1,840* Requesting publication of SIR after Examiner action	
115	110	215 55 Extension for reply within first month	
116	390	216 195 Extension for reply within second month	
117	890	217 445 Extension for reply within third month	
118	1,390	218 695 Extension for reply within fourth month	
128	1,890	228 945 Extension for reply within fifth month	
119	310	219 155 Notice of Appeal	
120	310	220 155 Filing a brief in support of an appeal	
121	270	221 135 Request for oral hearing	
138	1,510	138 1,510 Petition to institute a public use proceeding	
140	110	240 55 Petition to revive - unavoidable	
141	1,240	241 620 Petition to revive - unintentional	
142	1,240	242 620 Utility issue fee (or reissue)	
143	440	243 220 Design issue fee	
144	600	244 300 Plant issue fee	
122	130	122 130 Petitions to the Commissioner	
123	50	123 50 Processing fee under 37 CFR 1.17(q)	
126	180	126 180 Submission of Information Disclosure Stmt	
581	40	581 40 Recording each patent assignment per property (times number of properties)	
146	710	246 355 Filing a submission after final rejection (37 CFR § 1.129(a))	
149	710	249 355 For each additional invention to be examined (37 CFR § 1.129(b))	
179	710	279 355 Request for Continued Examination (RCE)	
169	900	169 900 Request for expedited examination of a design application	
Other fee (specify) _____			

\*Reduced by Basic Filing Fee Paid

**SUBTOTAL (3) (\$ 65)**

## SUBMITTED BY

Name (Print/Type)	COURTENAY B. ALLEN	Registration No (Attorney/Agent)	43,469	Telephone	210-554-5389
Signature	Court B Allen			Date	9-24-2001

**WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.**

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.



## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/902,440	07/10/2001	Dennis R. Ulbrich	22578.3

CONFIRMATION NO. 5506  
FORMALITIES LETTER



000716  
COX & SMITH INCORPORATED  
SUITE 1800  
112 EAST PECAN STREET  
SAN ANTONIO, TX 782051536

Date Mailed: 08/28/2001

**NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION**

**FILED UNDER 37 CFR 1.53(b)**

*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.  
*Applicant must submit \$ 355 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).*
- Total additional claim fee(s) for this application is \$120.
  - \$120 for 3 independent claims over 3 .
- The oath or declaration is missing.  
*A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$65 for a small entity in compliance with 37 CFR 1.27, must be submitted with the missing items identified in this letter.
- **The balance due by applicant is \$ 540.**

*A copy of this notice **MUST** be returned with the reply.*



Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

09/27/2001 MWOLDER1 00000003 09902440

01 FC:201	355.00 0P
02 FC:202	120.00 0P
03 FC:205	65.00 0P